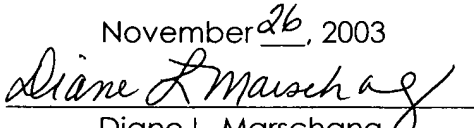


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1642

Patent Docket P1007PID1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  Avi J. Ashkenazi  Serial No.: 09/993,234  Filed: November 19, 2001  For: APO-2LI AND APO-3 POLYPEPTIDES	Group Art Unit: 1642  Examiner: G. Nickol  Confirmation No: 1337  <b>Customer No: 09157</b>	<b>RECEIVED</b>  DEC 03 2003  TECH CENTER 1600/2900
	<b>CERTIFICATE OF EXPRESS MAILING</b>  Express Mail Number: <b>EV 351 928 628 US</b>  <small>I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450".</small>  November <u>26</u> , 2003   Diane L. Marschang	

**TRANSMITTAL LETTER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith are the following documents:


1. Supplemental Information Disclosure Statement (dup);
2. Form PTO-1449 with 3 References;
3. Return postcard.

In the event any additional fees are due in connection with the filing of these documents, the Commissioner is authorized to charge such fees to our Deposit Account No. 07-0630.

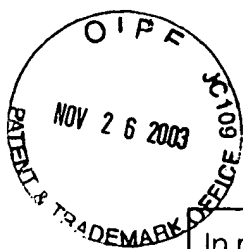
Respectfully submitted,

GENENTECH, INC.

Date: November 26, 2003

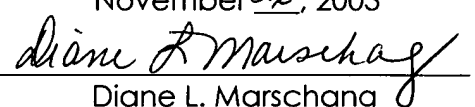
By:   
Diane L. Marschang  
Reg. No. 35,600  
Telephone No. (650) 225-5416

#144895



Patent Docket P1007PID1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Avi J. Ashkenazi Serial No.: 09/993,234 Filed: November 19, 2001 For: APO-2LI AND APO-3 POLYPEPTIDES	Group Art Unit: 1642 Examiner: G. Nickol Confirmation No: 1337 CUSTOMER NO: 09157  <b>CERTIFICATE OF EXPRESS MAILING</b> Express Mail Number: <u>EV 351 928 628 US</u> <small>I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450".</small>  November <u>26</u> , 2003  Diane L. Marschang
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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached revised Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

This Information Disclosure Statement is filed in accordance with the provisions of:

**37 CFR § 1.97(b)**

- within three months of the filing date of the application other than a continued prosecution application under 37 CFR § 1.53(d); **or**
- within three months of the date of entry of the national stage of a PCT application as set forth in 37 CFR § 1.491, **or**
- before the mailing of the first Office action on the merits; **or**
- before the mailing of the first Office action after the filing of a request for a continued examination under 37 CFR § 1.114.

☒ **37 CFR §1.97(c)**

- by the applicant after the period specified in 37 CFR § 1.97(b), but prior to the mailing date of any of a final action under 37 CFR § 1.113, or a notice of allowance under 37 CFR § 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by either the fee set forth in 37 CFR § 1.17(p) **or** a statement as specified in 37 CFR § 1.97(e), as checked below.

☐ **37 CFR §1.97(d)**

- after the period specified in CFR § 1.97(c), and is accompanied by the fee set forth in 37 CFR § 1.17(p) **and** a statement as specified in 37 CFR § 1.97(e), as checked below.

[If either of boxes 37 CFR § 1.97(c) or 37 CFR § 1.97(d) is checked above, the following statement under 37 CFR § 1.97(e) may need to be completed.]

☐ **37 CFR §1.97(e)** Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

☐ **37 CFR §1.704(d)** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and the communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of this information disclosure statement. Therefore, in accordance with the provisions of 37 CFR § 1.704(d), the filing of this information disclosure statement will not be considered a failure to engage in reasonable efforts to conclude prosecution under 37 CFR § 1.704.

☒ The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR § 1.17(p). Any deficiency or overpayment should be charged or credited to this deposit account.

A list of the patents or publications is set forth on the attached revised Form PTO-1449 (Modified).

A copy of the items on PTO-1449 is supplied herewith.

A concise explanation of relevance of the items listed on PTO-1449 is:

☒ not given

☐ given for each listed item

☐ given for only non-English language listed item(s) [Required]

Serial No.: 09/993,234  
Filed: November 19, 2001

Page 3

- [] in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

In accordance with 37 CFR § 1.97(g), the filing of this information disclosure statement shall not be construed as a representation that a search has been made.

In accordance with 37 CFR § 1.97(h), the filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR 1.16 and 1.17 for this Information Disclosure Statement, or credit overpayment to Deposit Account No. 07-0630. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

GENENTECH, INC.

Date: November 26, 2003

By: *Diane L. Marschang*  
Diane L. Marschang  
Reg. No. 35,600  
Telephone No. (650) 225-5416

#144891

FORM PTO-1449

U.S. Dept. of Commerce  
Patent and Trademark Office

Atty Docket No.

P1007P1D1

Serial No.

09/993,234

Applicant

Avi J. Ashkenazi

Filing Date

19 Nov 2001

Group

1642

## LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
	1	2003/0077694	24.04.03	Yu et al.			
	2	2003/0170203	11.09.03	Yu et al.			
	3	2003/0181710	25.09.03	Ni et al.			

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 DEC 03 2003  
 TECH CENTER 1600/2900

Examiner

Date Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.